



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. : 09/259,770  
Applicant(s) : Stephen J. HODGDON et al.  
Filed : February 26, 1999  
Title : METHOD OF RISK MANAGEMENT AND OF ACHIEVING A RECOMMENDED ASSET ALLOCATION AND WITHDRAWAL STRATEGY, AND COMPUTER READABLE MEDIUM, APPARATUS AND COMPUTER PROGRAM THEREOF

Art Unit : 3624  
Examiner : Jagdish PATEL

Docket No. : 3635-4000

**REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT**

Commissioner for Patents  
P.O. BOX 1450  
Alexandria, VA 22313-1450

Sir:

A corrected filing receipt is hereby requested in view of the errors which appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the updated receipt on which the errors have been highlighted. Specifically, the filing date is incorrectly indicated to be March 1, 1999. Instead, the filing date should read: February 26, 1999. Attached are copies of the Certificate of Express Mailing and the Express Mail Label bearing February 26, 1999 as the date the present application was mailed.

- PTO ERROR: As the error was made by the Patent and Trademark Office, it is believed that no fee is due. However please credit or debit Deposit Account No. 13-4500, Order No. 3635-4000 as necessary to effect entry of the attached corrections.
- APPLICANT'S ERROR: In accordance with the provisions of Rule 1.19(h), please charge the requisite fee of \$25.00 to Deposit Account No. 13-4500, Order No. .

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3635-4000. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: June 18, 2003

By: 

Matthew K. Blackburn  
Registration No. 47,428

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile



S6/27/03  
Rec'd  
Docket No. 3635-4000

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Stephen J. HODGDON et al.

Group Art Unit: 3624

Serial No.: 09/259,770

Examiner: Jagdish PATEL

Filed: February 26, 1999

For: METHOD OF RISK MANAGEMENT AND OF ACHIEVING A RECOMMENDED ASSET ALLOCATION WITHDRAWAL STRATEGY, AND COMPUTER READABLE MEDIUM, APPARATUS AND COMPUTER PROGRAM THEREOF

**CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))**

Mail Stop \_\_\_\_\_  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the attached:

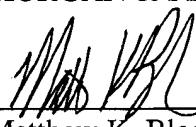
1. Request for Corrected Official Filing Receipt;
2. Copy of Filing Receipt with correction in Red Ink;
3. Return Postcard

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: June 18, 2003

By: \_\_\_\_\_

  
Matthew K. Blackburn  
Registration No. 47,428

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New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile

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GROUP 3600

**FILE COPY****UNITED STATES PATENT AND TRADEMARK OFFICE**

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING OR 371(c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
09/259,770	03/01/1999	STEPHEN J. HODGDON	3635-4000

MORGAN AND FINNEGAN  
 345 PARK AVENUE  
 NEW YORK, NY 10154

**CONFIRMATION NO. 5669**

\*OC000000011540261\*

Date Mailed: 12/19/2003

**RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT****Application Filing Date**

In response to your request for a corrected Filing Receipt, the Office cannot comply with your request because:

- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- The "date in" on the Express Mail label is the date given on the Filing Receipt.
- The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC  
 Commissioner for Patents

**RECEIVED**  
 JAN 09 2004  
**GROUP 3600**

Washington, DC 20231

Sengmany S.  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/259,770	[03/01/99]	2761	\$3,406.00	3635-4000	16	89	21

-- 02/26/99 --

MORGAN AND FINNEGAN  
345 PARK AVENUE  
NEW YORK NY 10154

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

## Applicant(s)

STEPHEN J. HODGDON, GREENWICH, CT; CHARLES W. KADLEC,  
SUMMIT, NJ.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 03/23/99

## TITLE

SELIGMAN HARVESTER RISK MANAGEMENT SYSTEM FOR ACHIEVING A RECOMMENDED  
ASSET ALLOCATION AND WITHDRAWAL STRATEGY

PRELIMINARY CLASS: 705

RECEIVED  
DOCKET DEPT.  
MORGAN & FINNEGAN LLP  
1999 MAR 29 P II: 30

CASE 3635-4000 ATTY TVP  
INFORMATION DISCLOSURE  
STATEMENT September 1, 1999  
FOREIGN FILING March 1, 2000  
CONVENTION DATE EXPIRES March 1, 2000



T. Perraud

Case No. 3635-4000 Serial No. TDA

**Date Mailed** February 26, 1999 **ATTY** TVP

Date Due in the Patent Office \_\_\_\_\_

The return of this post card, properly stamped, will acknowledge receipt in the Patent & Trademark Office of the following:

1. -  
2. - Patent Application Fee Transmittal; Patent Application comprising 27 pgs. of Specification; 16 pgs. of Claims and 1 pg. of Abstract; Sixteen (16) sheets of informal drawing; /99  
3. - Six pages of Declaration and Power of Attorney (EXECUTED); Assignment of Application for Patent; Information Disclosure Statement; PTO-1449; Cited References; and Express Mail  
4. - Certificate No. EH 057 145 152 US  
5. - \$40 check - Assignment fee/\$3,810 check - filing fee

CASE 3635-4000 ATTY IVP  
INFORMATION DISCLOSURE STATEMENT  
FOREIGN FILING Sept. 1, 1999  
CONVENTION DATE EXPIRES Mar. 1, 2000

PATENT



Docket No. 3635-4000

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Stephen J. Hodgdon Group Art Unit: TBA  
Charles W. Kadlec

Serial No. : To Be Assigned Examiner: TBA

Filed : Herewith

For : **THE SELIGMAN HARVESTER<sup>SM</sup> RISK MANAGEMENT SYSTEM FOR  
ACHIEVING A RECOMMENDED ASSET ALLOCATION AND  
WITHDRAWAL STRATEGY**

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. **EH 057 145 152 US**

Date of Deposit **February 26, 1999**

I hereby certify that the following attached paper(s) and/or fee

- (1) Patent Application Fee Transmittal;
- (2) Patent Application comprising 27 pgs. of Specification; 16 pgs. of Claims; and 1 pg. of Abstract
- (3) Sixteen (16) sheets of informal drawing;
- (4) Six pages of Declaration and Power of Attorney (**EXECUTED**);
- (5) Assignment of Application for Patent;
- (6) Information Disclosure Statement
- (7) PTO-1449;
- (8) Cited References; and
- (6) Return receipt postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**ALBERT ISLES**

(Typed or printed name of person  
mailing paper(s) and/or fee)

(Signature of person mailing  
paper(s) and/or fee)

**CORRESPONDENCE ADDRESS:**

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800  
(212) 751-6849 Facsimile